



CHECKLIST FOR NO-ACTION LETTERS

Requested by: No.

Date Received: Tele: Examiner:

1. Has the appropriate fee of \$200 .00 been submitted? ☐
2. Has the request been submitted in two copies? ☐
3. Does the request contain:
 - (a) A brief summary of the statutory and regulatory provisions to which it pertains? ☐
 - (b) A detailed statement of the relevant facts? ☐
 - (c) A detailed discussion and analysis of the law as it relates to the facts? ☐
 - (d) A statement of the legal authority for granting the request? ☐
 - (e) A statement of the reasons a waiver or no-action letter is appropriate? ☐
 - (f) A statement explaining any adverse or beneficial effect upon the public interest resulting from the granting of the request? ☐
 - (g) A certification that, within the knowledge of the person on whose behalf the request is made, the transaction described is not directly or indirectly the subject of any pending judicial or administrative proceeding or, if such a proceeding is pending, a description of the proceeding? ☐
 - (h) A certification that the transaction in question has not been commenced or, if it has commenced, a statement concerning its status? ☐
 - (i) An acknowledgment by the person on whose behalf the request is made that the request, together with any documents or information submitted will be public information which may be released for publication. ☐
4. Does the request involve matters that will generally not be considered?
 - (a) Waiver of the anti-fraud provisions? ☐
 - (b) A transaction that has been commenced? ☐